

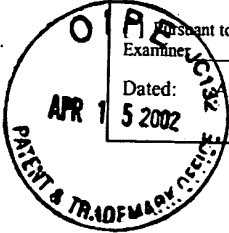
Certificate of Mailing/Transmission (37 C.F.R. § 1.8(a)):

X Pursuant to 37 C.F.R. § 1.8, I hereby certify that this paper and all enclosures are being deposited with the United States Postal Service as first class mail on the date indicated below in an envelope addressed to the Assistant Commissioner for Patents, Washington D.C. 20231.

Pursuant to 37 C.F.R. § 1.6(d), I hereby certify that this paper and all enclosures are being sent via facsimile on the date indicated below to the attention of
Examiner _____ at Facsimile No. _____ at _____ a.m/p.m.

Dated: April 3, 2002
5 2002

Name of Person Certifying: Nancy Hine
Printed Name: Nancy Hine



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Jones et al.

Filing Date: November 9, 1999

Serial No.: 09/436,513

Title: Chemically Modified Mutant Serine Hydrolases Show Improved Catalytic Activity
And Chiral Selectivity

Assignee: Genencor International, Inc.

Examiner: Patterson, C.

Group Art Unit: 1652

TECH CENTER 1600/2900

APR 1 9 2002

RECEIVED

Assistant Commissioner for Patents
Washington, D.C. 20231

**AMENDMENT, PETITION AND FEE TO DELETE AND/OR
ADD TO ORIGINAL ERRONEOUSLY NAMED OR NOT NAMED
INVENTOR(S) IN NONPROVISIONAL APPLICATION-DECLARATION
(37 C.F.R. § 1.48(a))**

*al to add to inventor
of Patterson
5/30/02*

NOTE: "If the inventive entity is set forth in error in an executed § 1.63 oath or declaration in a nonprovisional application, and such error arose without any deceptive intention of the part of the person named as an inventor in error or on the part of the person who through error was not named as an inventor, the inventorship of the nonprovisional application may be amended to name only the actual inventor or inventors." 37 C.F.R. § 1.48(a)

Note: 37 C.F.R. § 1.48(f) states: "if the correct inventor or inventors are not named on filing a nonprovisional application under § 1.53(b) without an executed oath or declaration under § 1.63, the later submission of an executed oath or declaration under § 1.63 during the pendency of the application will act to correct the earlier identification of inventorship.

"(2) If the correct inventor or inventors are not named on filing a provisional application without a cover sheet under § 1.51(c)(1), the later submission of a cover sheet under § 1.51(c)(1) during the pendency of the application will act to correct the earlier identification of inventorship."

1. This amendment and petition is to correct the incorrect original naming of inventors in the declaration under 37 C.F.R. § 1.48(a) as set forth and filed on January 30, 2001, January 29, 2001 and February 4, 2001.
2. Addition and/or Deletion of Inventor

☒ Add the following previously unnamed person as inventor of this application:

04/17/2002 CNGUYEN 00000036 501193 09436513

Richard C. Lloyd

01 FC:122 130.00 CH
02 FC:117 920.00 CH

- ☐ Delete the following previously incorrectly named inventor(s)
- _____
- _____

3. Attachments

Attached is

- (a) A statement from: (check items below that apply)

- ☒ each person being added as an inventor that the error in inventorship occurred without deceptive intention on his or her part. 37 C.F.R. § 1.48(a)(1).
- ☐ each person being deleted as an inventor that the error in inventorship occurred without deceptive intention on his or her part. 37 C.F.R. § 1.48(a)(1).

- (b) a declaration by each of the actual inventor(s) as required by 37 C.F.R. § 1.63 (or as permitted by §§ 1.42, 1.43, OR 1.47). 37 C.F.R. § 1.48(a)(2).

- (c) written assent of the assignee (if any of the original inventors executed an assignment) 37 C.F.R. 1.48(a)(5)

- (d) (check the following item, if all the inventor(s) remaining after this petition and amendment is accepted are not the inventor(s) of the subject matter of all the claim(s) now being claimed.)

- ☐ Attached is an explanation of the facts, including the ownership of all the claim(s) being claimed in this application, including the ownership of all the claim(s) at the time the last claimed invention was made (Declaration of Inventorship and Common Ownership of Claims in Application).

4. Fee Payment (37 C.F.R. § 1.17(i)-\$130.00)

The fee required is paid as follows:

- ☐ Attached is ☐ check ☐ money order in the amount of \$ _____

- ☒ Authorization is hereby made to charge the amount of \$130.00

- ☒ To Deposit Account No. 50-1193

- ☐ to Credit card as shown on the attached credit card information authorization form PTO-2038.

WARNING: Credit card information should *not* be included on this form as it may become public.

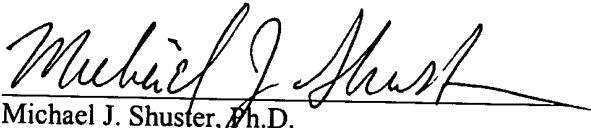
- ☒ Charge any additional fees required by this paper or credit any overpayment in the manner authorized above.

A duplicate of this paper is attached.

Date: April 3, 2002

Customer No.: 23639

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Three Embarcadero Center, 18th Floor
San Francisco, CA 94111
Tel. No.: (415) 393-2651
Fax. No.: (415) 393-2286


Michael J. Shuster, Ph.D.
Reg. No. 41,310

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Jones et al.

Assignee: Genencor International, Inc.

Filing Date: November 9, 1999

Examiner: Patterson, C.

Serial No.: 09/436,513

Group Art Unit: 1652

Title: Chemically Modified Mutant Serine Hydrolases Show
Improved Catalytic Activity And Chiral Selectivity



DECLARATION OF J. BRYAN JONES AND RICHARD C. LLOYD
UNDER *IN RE KATZ* 687 F.2D 450, 214 USPQ 14 (CCPA 1982)

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

J. Bryan Jones, and Richard C. Lloyd hereby declare as follows:

1. We are inventors of the invention described in the above application.
2. We are co-authors of the publication attached to this Declaration as Exhibit A, Davis, et al. (C3) "Controlled Site-Selective Glycosylation of Proteins by a Combined Site-Directed Mutagenesis and Chemical Modification Approach," *J. Org. Chem.* **63**:5265-5266 (1998), which describes our own work. Our co-author is Benjamin G. Davis.
3. We are the inventors of any subject matter disclosed in the *J. Org. Chem.* article and claimed in the above patent application. Benjamin G. Davis was working under the direction of J. Bryan Jones. The work described in the *J. Org. Chem.* publication that was contributed to by Benjamin G. Davis did not rise to the level of inventorship in the above-identified application.
4. J. Bryan Jones is a co-author of the publication attached to this Declaration as Exhibit B, DeSantis, et al. (C4) "Site-Directed Mutagenesis Combined with Chemical Modification as a Strategy for Altering the Specificity of the S₁ and S₁' Pockets of Subtilisin *Bacillus lentus*," *Biochemistry* **37**:5968-5973 (1998), which describes my own work. His co-authors are Grace DeSantis, Per Berglund, Michele R. Stabile, and Marvin Gold.
5. J. Bryan Jones is the inventor of any subject matter disclosed in the *Biochemistry* article and claimed in the above patent application. Grace DeSantis, Per Berglund, Michele R. Stabile, and Marvin Gold were working under the direction of J. Bryan Jones. The work described in the *Biochemistry* publication that was contributed to by Grace DeSantis, Per Berglund, Michele R. Stabile, and Marvin Gold did not rise to the level of inventorship in the above-identified application.

1997, 1998, 1999, 2000, 2001, 2002, 2003, 2004, 2005, 2006, 2007, 2008, 2009, 2010, 2011, 2012, 2013, 2014, 2015, 2016, 2017, 2018, 2019, 2020, 2021, 2022, 2023, 2024, 2025, 2026, 2027, 2028, 2029, 2030, 2031, 2032, 2033, 2034, 2035, 2036, 2037, 2038, 2039, 2040, 2041, 2042, 2043, 2044, 2045, 2046, 2047, 2048, 2049, 2050, 2051, 2052, 2053, 2054, 2055, 2056, 2057, 2058, 2059, 2060, 2061, 2062, 2063, 2064, 2065, 2066, 2067, 2068, 2069, 2070, 2071, 2072, 2073, 2074, 2075, 2076, 2077, 2078, 2079, 2080, 2081, 2082, 2083, 2084, 2085, 2086, 2087, 2088, 2089, 2090, 2091, 2092, 2093, 2094, 2095, 2096, 2097, 2098, 2099, 2100, 2101, 2102, 2103, 2104, 2105, 2106, 2107, 2108, 2109, 2110, 2111, 2112, 2113, 2114, 2115, 2116, 2117, 2118, 2119, 2120, 2121, 2122, 2123, 2124, 2125, 2126, 2127, 2128, 2129, 2130, 2131, 2132, 2133, 2134, 2135, 2136, 2137, 2138, 2139, 2140, 2141, 2142, 2143, 2144, 2145, 2146, 2147, 2148, 2149, 2150, 2151, 2152, 2153, 2154, 2155, 2156, 2157, 2158, 2159, 2160, 2161, 2162, 2163, 2164, 2165, 2166, 2167, 2168, 2169, 2170, 2171, 2172, 2173, 2174, 2175, 2176, 2177, 2178, 2179, 2180, 2181, 2182, 2183, 2184, 2185, 2186, 2187, 2188, 2189, 2190, 2191, 2192, 2193, 2194, 2195, 2196, 2197, 2198, 2199, 2200, 2201, 2202, 2203, 2204, 2205, 2206, 2207, 2208, 2209, 2210, 2211, 2212, 2213, 2214, 2215, 2216, 2217, 2218, 2219, 2220, 2221, 2222, 2223, 2224, 2225, 2226, 2227, 2228, 2229, 2230, 2231, 2232, 2233, 2234, 2235, 2236, 2237, 2238, 2239, 2240, 2241, 2242, 2243, 2244, 2245, 2246, 2247, 2248, 2249, 2250, 2251, 2252, 2253, 2254, 2255, 2256, 2257, 2258, 2259, 2260, 2261, 2262, 2263, 2264, 2265, 2266, 2267, 2268, 2269, 2270, 2271, 2272, 2273, 2274, 2275, 2276, 2277, 2278, 2279, 2280, 2281, 2282, 2283, 2284, 2285, 2286, 2287, 2288, 2289, 2290, 2291, 2292, 2293, 2294, 2295, 2296, 2297, 2298, 2299, 2300, 2301, 2302, 2303, 2304, 2305, 2306, 2307, 2308, 2309, 2310, 2311, 2312, 2313, 2314, 2315, 2316, 2317, 2318, 2319, 2320, 2321, 2322, 2323, 2324, 2325, 2326, 2327, 2328, 2329, 2330, 2331, 2332, 2333, 2334, 2335, 2336, 2337, 2338, 2339, 2340, 2341, 2342, 2343, 2344, 2345, 2346, 2347, 2348, 2349, 2350, 2351, 2352, 2353, 2354, 2355, 2356, 2357, 2358, 2359, 2360, 2361, 2362, 2363, 2364, 2365, 2366, 2367, 2368, 2369, 2370, 2371, 2372, 2373, 2374, 2375, 2376, 2377, 2378, 2379, 2380, 2381, 2382, 2383, 2384, 2385, 2386, 2387, 2388, 2389, 2390, 2391, 2392, 2393, 2394, 2395, 2396, 2397, 2398, 2399, 2400, 2401, 2402, 2403, 2404, 2405, 2406, 2407, 2408, 2409, 2410, 2411, 2412, 2413, 2414, 2415, 2416, 2417, 2418, 2419, 2420, 2421, 2422, 2423, 2424, 2425, 2426, 2427, 2428, 2429, 2430, 2431, 2432, 2433, 2434, 2435, 2436, 2437, 2438, 2439, 2440, 2441, 2442, 2443, 2444, 2445, 2446, 2447, 2448, 2449, 2450, 2451, 2452, 2453, 2454, 2455, 2456, 2457, 2458, 2459, 2460, 2461, 2462, 2463, 2464, 2465, 2466, 2467, 2468, 2469, 2470, 2471, 2472, 2473, 2474, 2475, 2476, 2477, 2478, 2479, 2480, 2481, 2482, 2483, 2484, 2485, 2486, 2487, 2488, 2489, 2490, 2491, 2492, 2493, 2494, 2495, 2496, 2497, 2498, 2499, 2500, 2501, 2502, 2503, 2504, 2505, 2506, 2507, 2508, 2509, 2510, 2511, 2512, 2513, 2514, 2515, 2516, 2517, 2518, 2519, 2520, 2521, 2522, 2523, 2524, 2525, 2526, 2527, 2528, 2529, 2530, 2531, 2532, 2533, 2534, 2535, 2536, 2537, 2538, 2539, 2540, 2541, 2542, 2543, 2544, 2545, 2546, 2547, 2548, 2549, 2550, 2551, 2552, 2553, 2554, 2555, 2556, 2557, 2558, 2559, 2560, 2561, 2562, 2563, 2564, 2565, 2566, 2567, 2568, 2569, 2570, 2571, 2572, 2573, 2574, 2575, 2576, 2577, 2578, 2579, 2580, 2581, 2582, 2583, 2584, 2585, 2586, 2587, 2588, 2589, 2590, 2591, 2592, 2593, 2594, 2595, 2596, 2597, 2598, 2599, 2600, 2601, 2602, 2603, 2604, 2605, 2606, 2607, 2608, 2609, 2610, 2611, 2612, 2613, 2614, 2615, 2616, 2617, 2618, 2619, 2620, 2621, 2622, 2623, 2624, 2625, 2626, 2627, 2628, 2629, 2630, 2631, 2632, 2633, 2634, 2635, 2636, 2637, 2638, 2639, 2640, 2641, 2642, 2643, 2644, 2645, 2646, 2647, 2648, 2649, 2650, 2651, 2652, 2653, 2654, 2655, 2656, 2657, 2658, 2659, 2660, 2661, 2662, 2663, 2664, 2665, 2666, 2667, 2668, 2669, 2670, 2671, 2672, 2673, 2674, 2675, 2676, 2677, 2678, 26

Application Ser. No. 09/436,513
Attorney Docket No. 23623-7043
Inventors: Jones et al.

6. We are true inventors of the subject matter claimed in U.S. Patent Application Serial No. 09/436,513.

7. We further declare that all statements made herein of our own knowledge are true and all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Date: _____

J. Bryan Jones

Date: 28 March 2002



Richard C. Lloyd



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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Applicant(s): Jones, J. Bryan; Dickman, Michael; Lloyd, Richard C.
Assignee: Genencor International Inc.
Title: Covalent Modification of Subtilisin Bacillus Lentus Cysteine Mutant
with Enantiomerically Pure Chiral Auxiliaries causes Remarkable
Changes in Activity
Serial No.: 09/436,513 Filing Date: November 9, 1999
Examiner: Charles L. Patterson, Jr. Group Art Unit: 1652
Docket No.: M-9066 US

San Jose, California

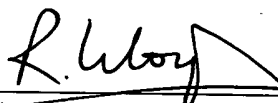
COMMISSIONER FOR PATENTS
Washington, D. C. 20231

STATEMENT OF DR. RICHARD C. LLOYD

Dear Sir:

I am being added as an inventor on the above referenced application. The error in inventorship occurred without deceptive intent on my part.

Date: 4 FEBRUARY 2001


Richard C. Lloyd

LAW OFFICES OF
SKJERVEN MORRILL
MACPHERSON LLP

25 METRO DRIVE
SUITE 700
SAN JOSE, CA 95110
(408) 453-9200
FAX (408) 453-7979

Certificate of Mailing/Transmission (37 C.F.R. § 1.8(a)):

X Pursuant to 37 C.F.R. § 1.8, I hereby certify that this paper and all enclosures are being deposited with the United States Postal Service as first class mail on the date indicated below in an envelope addressed to the Assistant Commissioner for Patents, Washington D.C. 20231.

[] Pursuant to 37 C.F.R. § 1.6(d), I hereby certify that this paper and all enclosures are being sent via facsimile on the date indicated below to the attention of Examiner _____ at Facsimile No. _____ at _____ a.m./p.m.

Dated: April 3, 2002

Name of Person Certifying: _____
Printed Name: Nancy Hine

Nancy Hine

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Jones et al.

Assignee: The Governing Council of the
University of Toronto

Filing Date: November 9, 1999

Examiner: Patterson, C.

Serial No.: 09/436,513

Group Art Unit: 1652

Title: Chemically Modified Mutant Serine Hydrolases Show Improved Catalytic Activity And Chiral Selectivity

Assistant Commissioner for Patents
Washington, D.C. 20231

**CONSENT OF ASSIGNEE TO CHANGE OF
INVENTORSHIP IN PATENT (37 C.F.R., § 1.48(a)(3))**

The Governing Council Of The University Of Toronto owner by assignments of the above patent,

☒ in the assignments being recorded concurrently herewith,

☐ in the assignment recorded in the PTO on _____

hereby consents to the amendment of the inventorship of this patent as requested

☒ in the accompanying papers.

☐ in the papers mailed to the PTO on _____

☒ Attached is a STATEMENT UNDER 37 C.F.R., § 3.73(b) establishing the right of the assignee to take action in this case.

DATE: March 27/02

THE GOVERNING COUNCIL OF THE
UNIVERSITY OF TORONTO

By: Peter B. Munsche

Peter B. Munsche,
Assistant Vice President,
Technology Transfer, University of Toronto